OIPE JUL 26 2006 PATENT & TRADEMARK OFFICE

PTO/SB/08a/b (07-05)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 4

Complete If Known	
Application Number	10/680407-Conf. #4331
Filing Date	October 8, 2003
First Named Inventor	Frederick W. LARK
Art Unit	N/A
Examiner Name	Not Yet Assigned
Attorney Docket Number	113217.121 US2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	AA*	US-6,718,312	04-06-2004	McAfee et al.	
	AB*	US-5,905,975	05-18-1999	Ausubel	
	AC*	US-6,510,418	01-21-2003	Case et al.	
	AD*	US-6,415,270	07-02-2002	Rackson et al.	
	AE*	US-6,449,601	09-10-2002	Friedland et al.	
	AF*	US-5,794,207	08-11-1998	Walker et al.	
	AG*	US-5,640,569	06-17-1997	Miller et al.	
	AH*	US-5,375,055	12-20-1994	Togher et al.	
	AI*	US-5,270,922	12-14-1993	Higgins	
	AJ*	US-5,231,571	07-27-1993	D'Agostino	
	AK*	US-5,230,048	07-20-1993	Moy	
	AL*	US-5,227,967	07-13-1993	Bailey	
	AM*	US-5,101,353	03-31-1992	Lupien et al.	
	AN*	US-5,077,665	12-31-1991	Silverman et al.	
	AO*	US-5,003,473	03-26-1991	Richards	
	AP*	US-5,845,265	12-01-1998	Woolston	
	AQ*	US-6,202,051	03-13-2001	Woolston	
	AR*	US-6,085,176	07-04-2000	Woolston	
	AS*	US-4,789,928	12-06-1988	Fujisaki	
	AT*	US-4,980,826	12-25-1990	Wagner	
	AU*	US-6,192,347	02-20-2001	Graff	
	AV*	US-5,802,501	09-01-1998	Graff	
	AW*	US-5,905,974	05-18-1999	Fraser et al.	
	AX*	US-5,845,266	12-01-1998	Lupien et al.	
	AY*	US-5,809,483	01-15-1998	Broka et al.	
	AZ*	US-5,915,209	06-22-1999	Lawrence	
	AA1*	US-5,857,176	01-05-1999	Ginsberg	
	AB1*	US-5,774,880	06-30-1998	Ginsberg	
	AC1*	US-6,029,146	02-22-2000	Hawkins et al.	
	AD1*	US-5,497,317	03-05-1996	Hawkins et al.	
	AE1*	US-5,803,500	09-08-1998	Mossberg	
	AF1*	US-6,023,685	02-08-2000	Brett et al.	
	AG1*	US-6,021,398	02-01-2000	Ausubel	
	AH1*	US-6,026,383	02-15-2000	Ausubel	
	AI1*	US-6,161,099	12-12-2000	Harrington et al.	
	AJ1*	US-4,903,201	02-20-1990	Wagner	
	AK1*	US-5,794,219	08-11-1998	Brown	
	AL1*	US-5,835,896	11-10-1998	Fisher et al.	
	AM1*	US-5,890,138	03-30-1999	Godin et al.	
	AN1*	US-6,243,691	06-05-2001	Fisher et al	
	AO1*	US-6,012,045	01-04-2000	Barzilai et al.	
	AP1*	US-5,797,127	08-18-1998	Walker et al.	

Examiner Signature	GAR G	Date Considered	8/3/07

5594323

PTO/SB/08a/b (07-05)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 of 4

Complete if Known	
Application Number	10/680407-Conf. #4331
Filing Date	October 8, 2003
First Named Inventor	Frederick W. LARK
Art Unit	N/A
Examiner Name	Not Yet Assigned
Attorney Docket Number	113217.121 US2

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document: Country Code[3]-Number[4]-Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	BA	WO-98/34187-A1	08-06-1998	AUTOCOM APS		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. [1] CITE NO.: Those application(s) which are marked with an single asterisk (*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. [2] Applicant's unique citation designation number (optional). [3] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [4] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [5] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [6] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [7] Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
GAR	CA	Gale, Ian. "A multiple-object auction with superadditive values." Economic Letters, Vol. 34, pp. 323-328. (May 1990).	
	CB	Engelbrecht-Wiggans, Richard et al. "An example of multi-object auction game." Management Science, Vol. 25, No. 12, pp. 1272-1277. (December 1979).	
	CC	Rockoff, Todd E. et al. "Design of an Internet-based system for remote Dutch auctions." Internet Research: Electronic Networking Applications and Policy, Vol. 5, No. 4, pp. 10-16. (1995).	
	CD	Hausch, Donald B. "Multi-object auctions: sequential vs. simultaneous sales." Management Science, Vol. 32, No. 12, pp. 1599-1610. (December 1986).	
	CE	Ledyard, John O. et al. "Experiments testing multiobject allocation mechanisms." Journal of Economics & Management Strategy, Vol. 6, No. 3, pp. 639-675. (Fall 1997)	
	CF	McAfee, R. Preston et al. "Analyzing the airwaves auction." Journal of Economic Perspectives, Vol. 10, No. 1, pp. 159-175. (Winter 1996).	
	CG	McMillan, John. "Selling spectrum rights." Journal of Economic Perspectives, Vol. 8, No. 3, pp. 145-161. (Summer 1994).	
	CH	Milgrom, Paul et al. "Auctions and Bidding: A primer." Journal of Economic Perspectives, Vol. 3, No. 3, pp.3-22. (Summer 1989).	
	CI	Milgrom, Paul R. et al. "A theory of auctions and competitive bidding." Econometrica, Vol. 50, No. 5, pp. 1089-1122. (September 1982).	
	CJ	Milgrom, Paul. "Rational expectations, information acquisition, and competitive bidding." Econometrica, Vol. 49, No. 4, pp. 921-943. (July 1981).	
	CK	Engelbrecht-Wiggans, Richard et al. "Competitive bidding and proprietory information." Journal of Mathematical Economics, Vol. 11, pp. 161-169. (1983).	
	CL	Engelbrecht-Wiggans, Richard. "Revenue equivalence in multi-object auctions." Economic Letters, Vol. 26, pp. 15-19. (1988).	
	CM	Milgrom, Paul. "Putting auction theory to work: the simultaneous ascending auction." Journal of Political Economy, Vol. 108, No. 2, pp. 245-272. (2000).	
	CN	Kagel, John H. et al. "Behavior in multi-unit demand auctions: experiments with uniform price and dynamic vickrey auctions." Econometrica, Vol. 69, No. 2, pp. 413-454 (March 2001).	
GAR	CO	Ausubel, Lawrence M. et al. "Ascending auctions with package bidding." Frontiers of Theoretical Economics, Vol. 1, Issue 1, Article 1, pp. 1-42. (2002).	

Examiner Signature	GAR G	Date Considered	8/3/07

5594323

PTO/SB/08a/b (07-05)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3 of 4

Complete if Known	
Application Number	10/680407-Conf. #4331
Filing Date	October 8, 2003
First Named Inventor	Frederick W. LARK
Art Unit	N/A
Examiner Name	Not Yet Assigned
Attorney Docket Number	113217.121 US2

	CP	Bartolini, Leonardo et al. "Designing Effective Auctions for Treasury Securities" Federal Reserve Bank of New York: Current Issues in Economic and Finance, Vol. 3, No. 9, pp. 1-6. (July 1997).	
	CQ	Ausubel, Lawrence M. "Implications of Auction Theory for New Issues Markets." Brookings - Wharton Papers on Financial Services, pp. 313-343. (2002).	
	CR	Zimmerman, Ray D. et al. "An Internet-based platform for testing generation scheduling auctions." IEEE - Proceedings of the Thirty-First Hawaii International Conference on System Sciences, Vol. 3, pp. 138-146. (1998).	
	CS	Milgrom, Paul. "Procuring Universal Telephone Service" Reprinted from: 1997 Industry Economics Conference Proceedings, pp. 1-9. (August 1997.)	
	CT	Ausubel, Lawrence M. "An efficient dynamic auction for heterogeneous commodities." Department of Economics, University of Maryland, pp. 1-30. (July 17, 2002).	
	CU	Ausubel, Lawrence M., "An efficient dynamic auction of heterogeneous commodities." Department of Economics, University of Maryland, pp. 1-19. (September 8, 2000).	
	CV	Lucking-Reiley, David. "Auctions on the internet: what's being auctioned, and how ?" Department of Economics, Vanderbilt University, pp. 1-54. (August 14, 1999)	
	CW	Ausubel, Lawrence M. "An efficient ascending-bid auction for dissimilar objects." Department of Economics, University of Maryland, pp. 1-22. (January 4, 1996).	
	CX	Ausubel, Lawrence M. et al. "Demand Reduction and Inefficiency in Multi-Unit Auctions." Department of Economics, University of Maryland, pp. 1-42. (March 20, 1998).	
	CY	Ausubel, Lawrence M. et al. "Demand Reduction and Inefficiency in Multi-Unit Auctions." Department of Economics, University of Maryland, pp. 1-30. (July 12, 2002).	
	CZ	Laffont, Jeans-Jacques et al. "Structural econometric analysis of descending auctions." European Economic Review, Vol. 37, pp. 329-341. (1993).	
	CA1	Cramton, Peter C. "Money out of thin air: the nationwide narrowband PCS auction." The Massacusettes Institute of Technology Journal of Economics & Management Strategy, Vol. 4, No. 2, pp. 267-343. (Summer 1995.)	
	CB1	Banks, Jeffrey S. et al. "Allocating uncertain and unresponsive resources: an experimental approach." RAND Journal of Economics, Vol. 20, No. 1, pp. 1-25. (Spring 1989)	
	CC1	Ausubel, Lawrence M. et al. "The ascending auction paradox." Department of Economics, University of Maryland, pp. 1-23. (July 5, 1999).	
	CD1	Ausubel, Lawrence M. "An Efficient Ascending-Bid Auction for Multiple Objects." Department of Economics, University of Maryland, pp. 1-25. (August 7, 2002).	
	CE1	Wolfram, Catherine D. "Strategic Bidding in a Multi-Unit Auction: An Empirical Analysis of Bids to Supply Electricity in England and Wales." National Bureau of Economic Research, Working Paper No. 6269, pp. 1-54. (November 1997).	
	CF1	Milgrom, Paul et al. "The value of information in a sealed-bid auction." Journal of Mathematical Economics, Vol. 10, pp. 105-114. (1982).	
	CG1	"Auctioning off relics of the computer age." Businessweek Online. (April 11, 1994).	
	CH1	Milgrom, Paul R. "The economics of competitive bidding: a selective survey." Social Goals and Social Organization Essays in Memory of Elisha Pazner, pp. 261-289. (1985).	
	CI1	"USAWeb.com to audiocast auctioneer bid calling contest live on the internet." USAWeb.com, http://www.usaweb.com/press/pr-050799.html. (May 7, 1999).	
	CJ1	"ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet Retail Service Debuts with Week-Long Charity Auction for the Computer Museum in Boston." Dialog (R)File 610: Business Wire. (May 24, 1995).	
	~~CK1~~	Clontz, Bryan. "Bancassurance in the United States: Effects on Consumers." Journal of the American Society of CLU & ChFC, pp. 68. (May 1997).	

Examiner Signature	GAR G	Date Considered	8/3/07

PTO/SB/08a/b (07-05)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 4 of 4

Complete if Known	
Application Number	10/680407-Conf. #4331
Filing Date	October 8, 2003
First Named Inventor	Frederick W. LARK
Art Unit	N/A
Examiner Name	Not Yet Assigned
Attorney Docket Number	113217.121 US2

	CL1	Underwood, Chris. "A multiple round ascending auction process suitable for the disposal of radio spectrum in New Zealand." Radio Spectrum Policy, pp. 1-6. (January 17, 1996.)	
	CM1	Ethier, Robert et al. "Auction Design for Competitive Electricity Markets." presented at HICSS Conference. pp. 1-19. (January 7-10, 1997).	
	CN1	Zimmerman, Ray D. et al. "Energy Auctions and Market Power: An Experimental Examination." IEEE, Proceedings of the Hawaii International Conference on System Sciences, pp. 1-9. (January 5-8, 1999).	
	CO1	Ausubel, Lawrence M. "An efficient ascending-bid auction for multiple objects." Department of Economics, University of Maryland, Working Paper No. 97-06, pp. 1-40. (June 25, 1997).	
	CP1	Katz, Jonathan. "Use of Electronic Media by Broker-Dealers, Transfer Agents, and Investment Advisers for Delivery of Information; Additional Examples under the Securities Act of 1933, Securities Exchange Act of 1934, and Investment Company Act of 1940. " Securities and Exchange Commission - http://www.sec/gov/rules/concept/33-7288.txt, pp. 1-31. (May 9, 1996.)	
	CQ1	Copeland, Duncan G. et al. "Sabre: The Development of Information-Based Competence and Execution of Information-Based Competition." IEEE Annals of the History of Computing, Vol. 17, No. 3, pp. 30-56. (1995).	
	CR1	Franklin, Matthew K. et al. "The Design and Implementation of a Secure Auction Service." IEEE, pp. 2-14. (1995).	
	CS1	Reiter, Michael K. "Distributing Trust with the Rampart Toolkit." Communications of the ACM, Vol. 39, No. 4, pp. 71-74 (April 1996).	
	CT1	Sutton, Marty et al. "Auctions." http://www.csee.umbc.edu/~jklabrou/courses/fall1999_691f/week13/weeks_site/Auctions.html.	
	CU1	Reynolds, Kate. "Auctions." http://www.agories.com/library/auctions.html. (1996).	
	CV1	Stein, Lincoln D. "How to set up and maintain a world wide web site: The Guide for Information Providers." pp. 135-136. (August 1995)	
	CW1	Maskin, Eric et al. "Optimal Multi-unit Auctions." The economics of missing markets, information, and games. pp. 312-333 (1989).	
	CX1	"The 1998 Review of Electronic Transaction Systems in the U.S. Fixed Income Securities Markets." The Bond Market Association, pp. 1-23. (November 1998).	
	CY1	Milgrom, Paul R. et al. "A Theory of Auctions and Competitive Bidding, II." http://www.milgrom.net/articlesmain.htm, Article No. 13. (1999).	
	CZ1	Bernard, John C. et al. "Alternative Auction Institutions for Purchasing Electric Power: An Experimental Examination." Bulk Power Systems Dynamics and Control IV - Restructuring: Symposium proceedings, Santorini, Greece, pp. 1-8. (August 24-28, 1998).	
	CA2	Reinhart, Vincent. "An analysis of Potential Treasury Auction Techniques." Federal Reserve Bulletin, pp. 403-413. (June 1992).	
	CB2	"Fundamentals of Municipal Bonds." Public Securities Association, Fourth Edition, pp. 53-69, 180-186. (1990).	
	CC2	Milgrom, Paul R. "A Convergence Theorem for Competitive Bidding with Differential Information." Econometrica, Vol. 47, No. 3, pp. 679-688. (May 1979).	
	CD2	Cramton et al., "Rules for Standard Offer Service Auction" Charles River Associates and Market Design Inc., pp. 1-8. (August 11, 1997)	
	CE2	Cramton et al., "Auction Design for Standard Offer Service" Charles River Associates and Market Design Inc., pp. 1-24. (September 26, 1997)	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1]Applicant's unique citation designation number (optional). [2]Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature	GAR G	Date Considered	8/3/07